

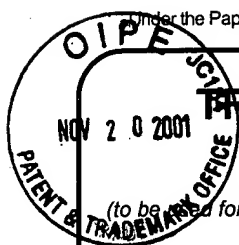
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PTO/SB/21 (08-00)

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U.S. Patent and Trademark Office: U.S. DEPARTMENT OF COMMERCE

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TRANSMITTAL FORM

(to be used for all correspondence after initial filing)

Total Number of Pages in This Submission

1

Application Number

09/978,112

Filing Date

October 15, 2001

First Named Inventor

Rivera, Roberto L.

Group Art Unit

Not yet assigned

Examiner Name

Not yet assigned

Attorney Docket Number

019664-000410US

ENCLOSURES (check all that apply)

☐ Fee Transmittal Form

☐ Fee Attached

☐ Amendment / Response

☐ After Final

☐ Affidavits/declaration(s)

☐ Extension of Time Request

☐ Express Abandonment Request

☒ Information Disclosure Statement

☐ Certified Copy of Priority Document(s)

☐ Response to Missing Parts/
Incomplete Application

☐ Response to Missing
Parts under 37 CFR
1.52 or 1.53

☐ Assignment Papers
(for an Application)

☐ Drawing(s)

☐ Licensing-related Papers

☐ Petition Routing Slip (PTO/SB/69)
and Accompanying Petition

☐ Petition to Convert to a
Provisional Application

☐ Power of Attorney, Revocation
Change of Correspondence Address

☐ Terminal Disclaimer

☐ Request for Refund

☐ CD, Number of CD(s)

☐ After Allowance Communication to
Group

☐ Appeal Communication to Board of
Appeals and Interferences

☐ Appeal Communication to Group
(Appeal Notice, Brief, Reply Brief)

☐ Proprietary Information

☐ Status Letter

☒ Other Enclosure(s)
(please identify below):

19 References

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Remarks

The Commissioner is authorized to charge any additional fees to
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SIGNATURE OF APPLICANT, ATTORNEY, OR AGENT

Firm
and
Individual name

Townsend and Townsend and Crew LLP

Hugh Wang

Reg. No. 47,163

Signature

Date

November 14, 2001

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PATENT
Attorney Docket No.: 019664-000410US

Assistant Commissioner for Patents
Washington, D.C. 20231



On November 14, 2001

TOWNSEND and TOWNSEND and CREW LLP

By: [Signature]

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of:

Roberto L. Rivera

Application No.: 09/978,112

Filed: October 15, 2001

For: DELIVERY SYSTEM TO
MODULATE IMMUNE RESPONSE

Examiner: Not yet assigned

Art Unit: Not yet assigned

INFORMATION DISCLOSURE
STATEMENT UNDER 37 CFR §1.97 and
§1.98

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

The references cited on attached form PTO/SB/08A and PTO/SB/08B are being called to the attention of the Examiner. Copies of the references are enclosed. It is respectfully requested that the cited references be expressly considered during the prosecution of this application, and the references be made of record therein and appear among the "references cited" on any patent to issue therefrom.

As provided for by 37 CFR 1.97(g) and (h), no inference should be made that the information and references cited are prior art merely because they are in this statement and no

representation is being made that a search has been conducted or that this statement encompasses all the possible relevant information.

Applicant believes that no fee is required for submission of this statement, since it is being submitted prior to the first Office Action. However, if a fee is required, the Commissioner is authorized to deduct such fee from the undersigned's Deposit Account No. 20-1430. Please deduct any additional fees from, or credit any overpayment to, the above-noted Deposit Account.

Respectfully submitted,

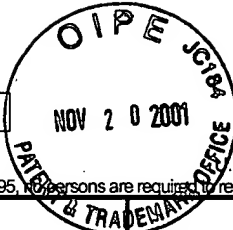


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Substitute for form 1449A/PTO

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INFORMATION DISCLOSURE STATEMENT BY APPLICANT

(use as many sheets as necessary)

Sheet 1 of 2

Application Number	09/978,112
Filing Date	October 15, 2001
First Named Inventor	Rivera, Roberto L.
Group Art Unit	Not yet assigned
Examiner Name	Not yet assigned
Attorney Docket Number	019664-000410US

U.S. PATENT DOCUMENTS

Examiner Initials *	Cite No. ¹	U.S. Patent Document		Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
		Number	Kind Code ² (if known)			
	AA	5,417,986		R. Reid <i>et al.</i>	23 May 1995	
	AB	5,591,433		Michael <i>et al.</i>	07 Jan 1997	
	AC	5,629,001		J. Michael <i>et al.</i>	13 May 1997	

FOREIGN PATENT DOCUMENTS

Examiner Initials *	Cite No. ¹	Foreign Patent Document			Name of Patentee or Applicant of Cited Document	Date of Publication of Cited Document MM-DD-YYYY	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T ⁶
		Office ³	Number ⁴	Kind Code ⁵ (if known)				
	AD	EP	0 603 992 A1			29 Jun 1994		Yes
	AE	FR	FR 2723849 A			01 Mar 1996		Abstract Only
	AF	JP	JP 1287032 A			17 Nov 1989		Abstract Only
	AG	PCT	WO9423738			27 Oct 1994		No

Examiner Signature		Date Considered	
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¹ Unique citation designation number. ² See attached Kinds of U.S. Patent Documents. ³ Enter Office that issued the document, by the two-letter code (WIPO Standard ST.3). ⁴ For Japanese patent documents, the indication of the year of the reign of the Emperor must precede the serial number of the patent document. ⁵ Kind of document by the appropriate symbols as indicated on the document under WIPO Standard ST. 16 if possible. ⁶ Applicant is to place a check mark here if English language Translation is attached.

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Applicati n Number	09/978,112
Filing Date	October 15, 2001
First Named Inventor	Rivera, Roberto L.
Group Art Unit	Not yet assigned
Examiner Name	Not yet assigned
Attorney Docket Number	019664-000410US

Sheet 2 of 2

OTHER PRIOR ART -- NON PATENT LITERATURE DOCUMENTS

Examiner Initials *	Cite No. ¹	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T ²
	AH	DISIS, et al., <u>High-Titer HER-s/neu Protein-Specific Antibody Can Be Detected in Patients With Early-Stage Breast Cancer</u> , Journal of Clinical Oncology, Vol. 15, No. 11 (November), 1997, p. 3363-3367.	
	AI	DISIS, et al., <u>Peptide-Based, but Not Whole Protein, Vaccines Elicit Immunity to HER-s/neu, an Oncogenic Self-Protein</u> , Journal of Immunology, 1996, p. 3151-3158.	
	AJ	IRACHE, et al., <u>Bioadhesion of Lectin-Latex Coniugates to Rat Intestinal Mucosa</u> , Pharmaceutical Research, Vol. 13, No. 11, 1996, p. 1716-1719.	
	AK	KOTZE, et al., <u>N-Trimethyl Chitosan Chloride as a Potential Absorption Enhancer Across Mucosal Surfaces: In Vitro Evaluation in Intestinal Epithelial Cells (Caco-2)</u> , Pharmaceutical Research, Vol. 14, No. 9, 1997, p. 1197-1202.	
	AL	MALLOY, et al., <u>Induction of mucosal and systemic immune responses by immunization with ovalbumin entrapped in poly(lactide-co-glycolide) microparticles</u> , Immunology, 1994, 81, p. 661-667	
	AM	MOWAT, et al., <u>Immune-stimulating complexes containing Quil A and protein antigen prime class I MHC-restricted T lymphocytes in vivo and are immunogenic by the oral route</u> , Immunology 1991,72, p. 317-322.	
	AN	REID, GEORGE, <u>Soluble proteins incorporate into ISCOMs after covalent attachment of fatty acid</u> , Vaccine, 1992, Vol. 10, No. 99, p. 597-602.	
	AO	ROBBINS-ROTH, CYNTHIA, <u>Cancer Vaccines: Are we finally on the right track?</u> , Bioventure View, Vol. 12, No. 18, 1997, p.1, 2, 4-10.	
	AP	ROCK, et al., <u>Analysis of the Role of MHC Class II Presentation in the Stimulation of Cytotoxic T Lymphocytes by Antigens Targeted into the Exogenous Antigen-MHC Class I Presentation Pathway</u> , Journal of Immunology, 1996, p. 3721-3726, American Association of Immunologists.	
	AQ	ROCK, et al., <u>Inhibition of Class I and Class II MHC-Restricted Antigen Presentation by Cytotoxic T Lymphocytes Specific for an Exogenous Antigen</u> , Journal of Immunology, 1992, Vol. 148, p. 3028-3033.	
	AR	SCHIPPER, et al., <u>Chitosans as Absorption Enhancers for Poorly Absorbable Drugs 2: Mechanism of Absorption Enhancement</u> , Pharmaceutical Research, Vol. 14, No. 7, 1997, p. 923-929.	
	AS	VIDARD, et al., <u>Analysis of MHC Class II Presentation of Particulate Antigens by B Lymphocytes</u> , Journal of Immunology, 1996, p. 2809-2818, American Association of Immunologists.	

Examiner
Signature

Date
Considered

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